

**NC DHHS – NC DMH/DD/SAS**  
**Non-Hospital Medically Monitored Detoxification**  
**Endorsement Check Sheet Instructions**

**Introduction**

Prior to site and service endorsement, business verification must take place. In the process of business verification, the business information presented DMA CIS (Community Intervention Services) application is validated. At that time, the provider organization submits a self study of the core rules (10A NCAC 27G .0201-.0204) verifying that they have met all the requirements therein. (The provider is not required to submit this if nationally accredited, licensed with DHSR or has had a compliance review from NC Council of Community Programs within the past three years.) The documents created in adherence with the core rules should be utilized as evidence of provider compliance where noted in the check sheet and instructions.

The following set of instructions is to serve as general guidelines to facilitate the review of providers for endorsement. Service definition, core rules (as noted above), staff definitions (10A NCAC 27G .104) and other DHHS communications (e.g. *DMH/DD/SAS Records Management and Documentation Manual*, Communication Bulletins, Implementation Updates, Clinical Coverage Policy 8A, and other publications) should be used to support the reviewer's determination of compliance. In addition, the Business Entity Type Reference document assists to clarify the requirements for different business entities such as corporation, partnerships and limited liability corporations and partnerships. On the endorsement check sheet, there are suggested sources of evidence for locating information that may assist the reviewer in determining compliance with the respective requirements. The items identified are not an exhaustive list of sources, nor must each item named be reviewed. The reviewer examines evidence presented only until the element in question is substantiated as being met by the provider.

**Provider Requirements**

In this section, the provider is reviewed to ascertain that administrative requirements are met in order for services to be provided. The provision of services is addressed later in this endorsement process. This section is reviewed only during the initial review for business status and does not require further scrutiny unless there is a change in the provider's status that would affect this element.

- a. Review identified documents for evidence the provider meets DMH/DD/SAS standards as related to administration responsibilities, financial oversight, clinical services and quality improvement. These standards include, but are not limited to, policies and procedures (contents of which are mandated in 10A NCAC 27G .0201 – Governing Body Policies) and the key documents required by law for the formation of the business entity. (Refer to attachment titled Business Entity Type.)
- b.(1). Review documentation that demonstrates provider is a legal US business entity. Documentation should indicate the business entity is currently registered with the local municipality or the office of the NC Secretary of State, that the information registered with the local municipality or the Secretary of State is current, and that there are no dissolution, revocation or revenue suspension findings currently attached to the provider entity. Also review corporate documentation demonstrating registration to operate a business in NC. Information for corporate entities may be verified on the web site for the Secretary of State. (Refer to key documents section of attachment titled Business Entity Type.)

- b.(2).** Review the policy and procedure manual. It should contain language indicating intent to have national accreditation within one (1) year of enrollment with DMA. Review DMA enrollment document to verify provider's date of enrollment. Once the provider has been enrolled with DMA for a period of one (1) year, a certification of national accreditation or some other evidence supporting the provider organization's achievement of national accreditation must be produced and validated.

### **Staffing Requirements**

In this section, the reviewer is primarily concerned with the hiring practices of the provider and ensuring that all employees required per the service definition are in place at the time of the clinical interview and are equipped with the evidentiary documentation of education, training and experience for which they were hired. This is important for the clinical integrity of the service. The review of the provision of services is more thoroughly examined in the "Program/Clinical Requirements" section of the endorsement review.

In the desk review, the reviewer is to verify that the provider agency's policies and procedures, as well as other administrative manuals meet the requirements of the service definition. The review of the qualifications of personnel hired will occur later in the endorsement process. Review documentation to verify that provider agency requirements of staff include degrees, licensure and/or certifications that comply with the position as written in the service definition, and are consistent with requirements and responsibilities of their respective job duties. Review job descriptions to determine that the roles and responsibilities identified do not exceed the qualifications of the position. This review ensures that the provider has an understanding of the service definition staffing requirements and has established policies for a program that meet those requirements.

For the clinical interview, review staff employment applications, resumes, licenses, certifications and/or other documentation for evidence that degrees and work experience with the target population the provider will be serving is consistent with the requirements and responsibilities of each position. If **any** staff person hired to meet the staffing requirements of the service definition do not meet the requirements for the position, then the clinical interview does not take place. The clinical interview process is described in Program Requirements.

For the on site review, the endorsing agency verifies documentation reviewed during the desk review and clinical interview (if it has been conducted prior to the on site review). The credentials and qualifications of any additional or ancillary staff hired in the time between the desk review and the on site review are examined.

For the 60 day review, include a review of the consumer record and other items necessary to determine that staff are performing clinical interventions commensurate with their credentials and qualifications as well as within the scope of work the their job descriptions. Review staff schedules, attendance rosters, and caseload assignments and interview staff to ascertain consumer to staff ratios. This review should also include a review of supervision plans, notes and documentation of clinical supervision for all staff. Review supervision plans to ensure that they are individualized and appropriate for the level of education, skill and experience of staff. Review supervision notes, schedules and other supporting documentation that demonstrate on-going supervision consistent with the requirements and responsibilities. Personnel records must demonstrate evidence that all required training has been acquired by each staff member delivering day treatment services and completed within the specified time frames.

- a.(1).** Review policy and procedure manual, program description, job descriptions for language verifying: the intent to hire staff with the appropriate degrees, license, certifications, education, training and skill consistent with requirements and responsibility of the positions, that include physicians who are available 24 hours a day by telephone and who can conduct an assessment within 24 hours of admission.
  - a.(2).** Review policy and procedure manual, program description, job descriptions for language verifying: the intent to hire staff with the appropriate degrees, license, certifications, education, training and skill consistent with requirements and responsibility of the positions, that include a registered nurse who will be available to conduct nursing assessments on admission and oversee the monitoring of a recipient's progress and medication.
  - a.(3).** Review policy and procedure manual, program description, job descriptions for language verifying: the intent to hire staff with the appropriate degrees, license, certifications, education, training and skill consistent with requirements and responsibility of the positions, that include appropriately licensed and credentialed staff who will be available to administer medications in accordance with a physician's order
  - a.(4).** Review policy and procedure manual, program description, job descriptions for language verifying the intent to hire staff with the appropriate degrees, license, certifications, education, training and skill consistent with requirements and responsibility of the positions, that include persons who meet the requirements specified for CCS, LCAS, and CSAC who may deliver a planned regimen of 24-hour evaluation, care and treatment services for recipients engaged in Medically Monitored Detoxification. Review program description, personnel files, employment application, resume, license, certificates and other documentation to verify that staff hold the appropriate degrees, license, certifications, education, training and skill consistent with requirements and responsibility of the required positions from above. Review service record, service notes and staff schedules including on-call responsibilities to verify that physician assessment was completed within 24 hours of admission; a nursing assessment was completed at admission and a nurse to monitor recipients' progress and medication; medications were administered per physician order and other services were provided according to the needs of the recipient.
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- b.(1).** Review policy and procedure manual, program description, job descriptions for language verifying the intent to hire staff with the appropriate degrees, license, certifications, education, training and skill consistent with requirements and responsibility of the positions, that include the planned regimen of 24-hour evaluation, care and treatment services must be under the clinical supervision of a CCS or LCAS who is available by phone 24 hours a day.
  - b.(2).** Review policy and procedure manual, program description, job descriptions for language verifying the planned regimen of 24-hour evaluation, care and treatment services for recipients engaged in Medically Monitored Detoxification must be provided by staff who meet the requirements specified for QP or AP status in Substance Abuse according to 10A NCAC 27G.0104, under the supervision of a LCAS or CCS.
  - b.(3).** Review policy and procedure manual, program description, job descriptions for language verifying paraprofessional level providers who meet the requirements for Paraprofessional status according to 10A NCAC 27G.0104 and who have the knowledge, skills and abilities required by the population and age to be served may only deliver services for recipients engaged in Medically Monitored Detoxification, under the supervision of a LCAS or CCS.

Review personnel files, employment application, resume, license, certificates and other documentation to verify that staff hold the appropriate degrees, license, certifications, education,

training and skill consistent with requirements and responsibility of the required positions from above. Review service record, service notes and staff schedules including on-call responsibilities to verify that the planned regimen of 24-hour evaluation, care and treatment services is under the clinical supervision of a CCS or LCAS who is available by phone 24 hours a day. Review supervisory plans and notes to verify that the Qualified Professionals, Associate Professionals and paraprofessionals have received supervision from a LCAS or CCS.

### **Service Type/Setting**

The elements in this section pertain to the provider's having an understanding of Non-Hospital Medically Monitored Detoxification and the service delivery system.

For the desk review, review documentation to verify that provider demonstrates a schedule of operation, locations of service and interventions provided are within the parameters specified by the service definition. This review ensures that the provider has an understanding of the purpose of the service and has established a schedule, staffing and a program that meet those requirements.

Items in this section do not apply to the clinical interview.

For the on site review, confirm findings of the desk review.

For the 60 day review, include a review of consumer records and other items necessary to determine that Non-Hospital Medically Monitored Detoxification is being provided to consumers who meet the eligibility requirements.

- a. Review the program description for language that demonstrates that the Non-Hospital Medically Monitored Detoxification is an organized service delivered by medical and nursing professionals that provides for 24-hour medically supervised evaluation and withdrawal management in a permanent facility affiliated with a hospital or in a freestanding facility of 16 beds or less. Services are delivered under a defined set of physician-approved policies and physician-monitored procedures and clinical protocols. Review service schedule and services notes for documentation of provision of appropriate program services.
- b. Review policy and procedure manual for language demonstrating a service order for Non-Hospital Medically Monitored Detoxification must be completed by a physician, licensed psychologist, physician's assistant or nurse practitioner according to their scope of practice prior to or on the day that the services are to be provided. Review service records to verify a service order for Non-Hospital Medically Monitored Detoxification is completed by a physician, licensed psychologist, physician's assistant or nurse practitioner according to their scope of practice prior to or on the day that the services are to be provided.
- c. Verification of 10A NCAC 27G .3100 Non-Hospital Detoxification for Individuals Who Are Substance Abusers license issued by DHSR.

### **Program/Clinical Requirements**

The elements in this section are reviewed as they pertain to service delivery. It is important that consumers are served in accordance with the service definition according to individual needs identified in the PCP in regard to the frequency, intensity and type of therapeutic interventions.

For the desk review, review documentation to verify that the provider demonstrates a clear understanding of the service definition.

For the clinical interview utilize the questions attached to the current endorsement policy. Specific expectations for the clinical interview are outlined below.

For the on site review, confirm findings of the desk review and the clinical interview.

For the 60 day review, a review of service records should demonstrate compliance with program requirements as specified in each item below. Review to verify that the provider has an understanding of the service definition and detoxification protocols. Review documentation to determine clinical integrity, coordination other services and supports in delivery of services and documented interventions that indicate adherence to best practice standards.

- a.(1).** Review program description, policy and procedure manuals and personnel files for language that demonstrates a minimum of one direct care staff member shall be on duty at all times for every nine or fewer clients;
- a.(2).** Review program description, policy and procedure manuals and personnel files for language that demonstrates the treatment of each client shall be under the supervision of a physician;
- a.(3).** Review program description, policy and procedure manuals and personnel files for language that demonstrates the services of a CSAC shall be available to each client;
- a.(4).** Review program description, policy and procedure manuals and personnel files for language that demonstrates each facility shall have at least one staff member on duty at all times trained in the following areas: (a) substance abuse withdrawal symptoms, including delirium tremens; and (b) symptoms of secondary complications to substance abuse;
- a.(5).** Review program description, policy and procedure manuals and personnel files for language that demonstrates each direct care staff member shall receive continuing education to include understanding of the nature of addiction, the withdrawal syndrome, group therapy, family therapy and other treatment methodologies. Review service notes and PCP for language that demonstrates each recipient is under the supervision of a physician. Review staff schedule and schedule of operations to verify that a minimum of one direct care staff member is on duty at all times for every nine or fewer clients; the services of a CSAC are available to each client; and the facility has at least one staff member on duty at all times trained as stated above.
- b.(1).** Review program policy and procedure manual for language that demonstrates that the facility has a written policy that requires procedures for monitoring each client's general condition and vital signs during at least the first 72 hours of the detoxification process; and
- b.(2).** Review program policy and procedure manual for language that demonstrates that the facility has a written policy that requires procedures for monitoring and recording each client's pulse rate, blood pressure and temperature at least every four hours for the first 24 hours and at least three times daily thereafter. Review service notes to verify that this monitoring of consumers occurs.

- c. Review program policy and procedure manual for clinical protocols that determine the level of nursing care that is appropriate based on the severity of recipient needs. Review service notes to verify documentation that clinical protocols were followed.
- d. Review program policy and procedure manual for language that demonstrates that the facility will complete a discharge plan for each client and refer each client who has completed detoxification to an outpatient or residential treatment or rehabilitation facility. Review service record to verify that the facility completed a discharge plan for each client and referred each client who completed detoxification to an outpatient or residential treatment or rehabilitation facility.
- e. Clinical Interview. Use the questions included in the current endorsement policy for interviews with the staff to determine the provider agency's clinical competency to deliver services. A minimum of three (3) staff members/positions must be interviewed. Those interviewed should include at least a fulltime RN (or nurses who share one FTE position) and the supervising LCAS/CCS, as well as one other fulltime staff member (or staff members who share one FTE position).

### **Documentation Requirements**

All contacts for Non-Hospital Medically Monitored Detoxification services must be documented - a daily service note is the minimum requirement. Documentation must meet all record and documentation requirements in the DMH/DD/SAS Records Management and Documentation Manual. Review for language that demonstrates that all contacts with or on behalf of the recipient must be recorded in the service record. Review policy and procedure manuals and job descriptions for language demonstrating the Non-Hospital Medically Monitored Detoxification provider will ensure service documentation is completed per Medicaid guidelines. Review policy and procedure manuals for language which addresses completion of required forms, transition and discharge planning.

The 60 day follow-up review should include a review of service records to verify that all components of each full service note are included in documentation and to verify that contacts are documented.

- a. Review policy and procedure manuals for language demonstrating the expectation that minimum standard is a full daily note that includes: 1) recipient's name, 2) Medicaid ID, 3) dates of service, 4) purpose of contact, 5) describes the provider's interventions, 6) the time spent performing the intervention, 7) the effectiveness of interventions, and 8) the signature and credentials of the staff providing the service. Review service notes to verify the above.
- b. Review policy and procedure manual for language that demonstrates that detoxification rating scale tables [e.g., Clinical Institute Withdrawal Assessment-Alcohol, Revised (CIWA-AR)] and flow sheets (includes tabulation of vital signs) are used as needed. Review service notes and flow sheets to verify the above.
- c. Review policy and procedure manual for language that demonstrates that a documented discharge plan, which will be discussed with the recipient, is to be included in the record. Review service record to verify that a discharge plan is documented and was discussed with the recipient.